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ABSTRACT

An institution's innovative plan for staff utilization, which represented a forced coalition between the offices for institutional research and university advancement, is described. Funding cuts eliminated staff in both of these offices. An institutional research/planning staff team (team A) identified current skills and resources and determined faculty and staff perceived unmet resource needs and priorities. A development/advancement staff team (team B) developed a list of 12 advancement elements, which is appended, and assessed the present status of each element. The two teams reviewed each other's lists, and team B matched eight need areas with seven potential funding sources. The matching process was based on Harold Hodgkinson's "I Have/You Need" approach to problem-solving. Cooperation of both teams with a university-wide advancement advisory committee resulted in the development of a recommendation for staffing and resource requirements to accomplish a 1- and 3-year development plan. Charts are appended that show the interface between identified needs and potential funding sources, and the interface between 11 institutional research skills and the 12 advancement plan elements. A literature review on functions of institutional research and university advancement is included. (SW)

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NEW CONFIGURATIONS IN UNIVERSITY ADMINISTRATION: THE ROLE OF THE INSTITUTIONAL RESEARCH OFFICE IN SUPPORT OF UNIVERSITY ADVANCEMENT

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Southern Association for Institutional Research
Birmingham, AL.: October 26, 1982

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This paper was presented at the 1982 Annual Conference of the Southern Association for Institutional Research held in Birmingham, Alabama, October 1982. It was reviewed by the SAIR Publications Committee and was judged to be of high quality and of interest to others concerned with the research in higher education. This paper has therefore been selected to be included in the ERIC collection of Conference Papers.

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ABSTRACT: Institutional research professionals, traditionally the providers and analyzers of institutional data, will be asked to adopt new and unfamiliar roles as the institutions respond to pressures to reduce administrative costs. One of these roles may be in support of advancement -- the securing of all forms of extramural support. This paper explores one institution's response to such an administrative reorganization and includes a search of the literature and an insight into what new roles the institutional researcher may be asked to fill.

Introduction and Purpose

In June, 1981, our institution received notification that the current year's state general revenue appropriation would be reduced by thirteen percent. In order to plan a balanced budget, all vacated posi tions were frozen. This included the positions Director of Development, and three support positions in development and/or institutional research. Remaining administators in Planning and University Relations were asked to brainstorm and develop a working plan of how their human resources could be best used, and also a 1- and 3-year development (fund raising) plan for the University.

The purpose of this paper is to report on one institution's innovative response to the forced coalition between institutional research and university advancement. An insight into new roles that the institutional researcher may be asked to fill is one outcome of this study.

Literature Review

The traditional roles of the institutional researcher are spelled out by Dressel and Associates (7), where the primary functions and activities of institutional research are described comprehensively for the first time. The authors

conclude that institutional research and institutional planning, because they are interrelated, need to be spread throughout the institution with some coordinating office tying the whole operation together. Various ways in which the function of institutional research is incorporated into the organizational structure of colleges and universities are described more recenlty by Saupe (34) as well as are other responsibilities typically assigned to the office and the methods and techniques of institutional research.

A comprehensive volume by Jedamus and Associates (18) provides many important insights. Peterson (28) identifies the major organizational issues in designing an integrated planning function. Corbally and Holmberg-Wright (5) discuss how to allocate scarce administative resources -- including persons with analytical skills -- more effectively. Munitz (27) likewise describes systematic assessments that can increase the quality of institutional management by clarifying responsibilities, refining rewards, and improving performance. Millett (26) views the role of the President to institutional planning and research as critical. Sheehan (36), with his "three-hat theory" of the multiple perspectives of institutional research analysts, argues strongly that planning and institutional research should be done in the same office.

The AIR Professional Files approach the question directly. Ridge (30) suggests optimum organization for conducting institutional research. Davies (6) elaborates on the various facets of institutional research and responsibility for reporting to external agencies. More recently, Johnson (19) has explored the opportunities for professional career development through service as an institutional researcher or planner.

The more comprehensive references to higher education administration also frequently discuss organizational placement and expectations of institutional

researchers. Cohen and March (4) called institutions "organized anarchies", but conceeded that leadership was more complicated and limited due to environmental, financial, and institutional forces that have joined their negative forces. Balderston (2) focused on internal management as early as 1974, placing heavy emphasis on the use of qualitative management procedures and information needed for University management. To Ebel (8) all administrative tasks are an art, and must be kept in close touch with scholarship and learning, and getting the most out of people. Mayhew (24) would do away altogether with special offices of institutional research and planning.

Halstead (14) cites Rowland's Handbook of Institutional Advancement (32) as the single most comprehensive source of information on institutional advancement at this time. The Council for Advancement and Support of Education (CASE) recommends Pray's Handbook for Educational Fund Raising (29). These references both provide the framework describing the various aspects of advancement.

Since 1978, Jossey-Bass has published a New Directions on Institutional Advancement Series. Among the Sourcebooks providing the greatest insight into the crossover between institutional research and advancement are Francis' "Surveying Institutional Constituencies" (10); Heeman's "Analyzing the Cost Effectiveness of Fund Raising" (15); and Jacobson's "Evaluating Advancement Programs" (17). Other sourcebooks address specific constituences: government relations (19); foundations (31); community relations (33); alumni (37); improving communication (12) and media coverage (3); and leadership by the President (9) and the board of trustees (11).

Methodology

This project advanced in three phases. Two working teams were developed one composed of institutional research/planning staff (Team A) and one of the development/advancement staff (Team B). During Phase One Team A developed a comprehensive task analysis listing of the representative skills and resources they currently possessed. Team A also conducted a needs assessment of faculty and staff to determine their perceived resource needs and priorities which were currently unmet. Team B developed a list of various advancement elements (See Figure I) as well as an assessment of present status of each element.

Phase Two constituted an exchange of information. Team A reviewed Team B's element list and tentatively matched the applicable skills of the institutional researchers. (See Figure I). Team B matched the faculty needs assessment with potential funding sources (Figure II).

Phase Three was then the development of a recommendation for staffing and resource requirements to accomplish a 1- and 3-year development plan, by both teams working together with a University-wide advancement advisory committee.

Discussion

The match between applicable skills and the elements of a comprehensive advancement plan (Figure I) are of primary interest to this paper. We used a Harold Hodgkinson's "I Have/You Need" approach to problem-solving (16). Beginning with a common concern for long-term viability and optimum use of resources, particularly staff resources, we developed a very collegial atmosphere, and new respect for what was to each a relatively new dimension of academic administration. We find ourselves with renewed vigor and enthusiasm in redefined job descriptions, and confidence that the advancement goals can be met.

FIGURE I

INTERFACE BETWEEN IDENTIFIED ELEMENTS OF A COMPREHENSIVE ADVANCEMENT PLAN AND SKILLS OF THE INSTITUTIONAL RESEARCH STAFF

ELEMENTS OF AN ADVANCEMENT PLAN

1. Major Donors (A,D,E,F,H,I,J) *
2. Annual Drive (A,B,E,F,G,H,I,J)
3. Capital Campaign (A,B,C,D,E,F,G,H,I,J)
4. Corporate Support (A,C,D,E,F,G,H,J)
5. Long-term Endowment Building (A,C,D,E,F,G,H,I)
6. Grants and Contracts (A,D,E,J,K)
7. Developing Leadership (A,B,D,F,G,H,J)
8. Public Relations/Communications (B,D,E,H,J,K)
9. Matching Needs with Resources (A,C,D,E,I)
10. Donor Recognition System (G,H,I,K)
11. Auditable Gift Accounting System (D,I)
12. Adequate Support Staff (A,B,E,J,K)

INSTITUTIONAL RESEARCH SKILLS

A. Prospect Research (1,2,3,4,5,6,7,9,12) **
B. Surveying Constituencies (2,3,7,8,12)
C. Economic & Demographic Forecasting (3,4,5,9)
D. Basic Institutional Data (1,3,4,5,6,7,8,9,11)
E. Needs Assessment (1,2,3,4,5,6,8,9,12)
F. Goal Setting (1,2,3,4,5,7,12)
G. Formative Evaluation / Feedback (2,3,4,5,7,10)
H. Summative Evaluation (1,2,3,4,5,7,8,10)
I. Developing/Refining Management Information Systems (1,2,3,5,9,10,11)
J. Technical Layout (1,2,3,4,6,7,8,10,12)
K. Text Editing/Word Processing (6,8,10,12)

* *Contributory skills.*

** *Elements requiring these skills.*

FIGURE II

INTERFACE BETWEEN IDENTIFIED NEEDS AND POTENTIAL FUNDING SOURCES

IDENTIFIED NEEDS

1. Student Scholarships (A,C,D,E,F,G)
2. Faculty Chairs
   Faculty/Staff Salary Supplement
   Developmental Seed Money
   Funds to Publish Research (A,B,C,D,E,F,G)
   Specialized equipment for Research
   Matching Funds for Grants
3. Academic Support Services for Underprepared Students
   Library Books (A,B,C,E,G)
   Specialized Equipment
4. Recruitment of Students
   Travel Subsidy - Choir, Art Displays, etc. (B,E,F,G)
5. Endowment-Building (D,F)
6. President's Discretionary Funds for Advancement
   Staff Support for Advancement (E,F)
   Public Relations
7. Renovation of Dormitories
   Deferred Maintenance/Special Maintenance (A,B,D,G)
   Construction of Memorial Hall
8. Strengthening Institutional Administration (A,C,G)
   Developmental Funds - Management Information System
   Interactive Data Processing Hardware & Software for Administration, Research, and Instruction

POTENTIAL FUNDING SOURCE

A. Grants and Contracts (1,2,3,7,8)

B. Foundations (2,3,4,7)

C. Businesses and Corporations (1,2,3,4,8)

D. Capital Campaign (1,2,5,7)

E. Annual Campaign (1,2,3,4,6)

F. Major Donors (1,2,4,5,6)

G. Special Interest Sponsors (1,2,3,4,7,8)

Implications for Practioners

We must move beyond narrow confines of what constitutes institutional research. New administative configurations are appearing in and around the President's Office. A natural coalition between institutional research, grants and contracts, planning, and fund raising under the generalized rubric of institutional planning and development is one viable possibility.

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